

*California Department of
Corrections and Rehabilitation*

Supervisory Skills Development

Leadership and Change

Facilitator's Guide

Revised 2/12/2007



SACRAMENTO STATE
COLLEGE OF CONTINUING EDUCATION



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**Supplies Needed**

You need the following to conduct this class:

- For each student:
 - One Participant Guide
 - Two copies of the pre/post test
 - One name tent
 - One evaluation form
- Computer with PowerPoint® installed
- This course's PowerPoint® slide presentation on a CD or flash drive
- Data projector and screen
- At least one flipchart and markers for the instructor
- Masking tape or cork strips and tacks for mounting flip chart sheets
- Extra paper

Pre-class Preparation

Do the following before participants arrive for class:

- Test all AV and/or computer equipment to be used during class
- Prepare needed flip charts (review the facilitator guide for needed charts including an agenda for the class)
- Ensure that participants' materials are correct and distributed (or ready to distribute)
- Project PowerPoint Title Slide.
- Be prepared to greet participants as they arrive.

Welcome and introductions

*Presentation,
Discussion*

Before you begin the course, have each participant introduce him/herself. Introduce yourself if you have not been introduced by the program manager.



Objectives

*Presentation,
Individual Exercise*
20 minutes

After greeting the participants, explain that the Participant Guide contains the “Program Overview” which provides the Week One and Week Two modules. The purpose and objectives are listed on page 1 of the Participant Guide.

Say something similar to:

“The purpose of this course is to introduce you to the concept of leadership and to explore the different characteristics and behaviors of effective leaders. It is designed to help you examine your own current leadership style and to give you tools to influence and motivate others in a positive fashion within CDCR.”



Participant Guide pp. 1-3



Slide 1

! Threads: All

Review the Objectives for the module, elaborating briefly to give an overview of the delivery methodology that will be used throughout the class. Point out the “Topical Threads” (pp. 2-3 in the Participant Guide) that will be highlighted throughout the module.

Have the participants complete the brief exercise regarding what they would like to do better after completing the course (text box at the bottom of pp. 1 of the Participant Guide)

Have the participants complete the brief exercise regarding what specific action they can take towards supporting two of the threads (text box at the bottom of pp. 3 of the Participant Guide).

Agenda Overview

Presentation
5 minutes



Flip Chart

Write a brief agenda of the class on a flip chart (or review the agenda that you have prepared before class).

- Review the class agenda, including timing of the break(s) and lunch.
- Ask if there are any questions.



Pretest

Individual Exercise

10 minutes

Give each participant the pretest.

Say something like, "Circle the answer that you believe is correct. "

Let the group know that they will take the same test again at the end of the course.

Leadership Perspectives

*Presentation,
Discussion*

15-20 minutes



Participant Guide p. 4



Slide 2 (Leadership Perspectives)

- Read aloud the leadership quotes by Drucker, Patton and Abrashoff found on slide 2.
- Ask for participant reactions to these quotes. Which is their favorite? Why? Do they know of other leadership quotes? Have them share their favorites.
- Now have participants turn to page 4 of their Participant Guide and begin the first topic, "What is Leadership?"

What is Leadership?

*Presentation,
Individual Exercise*

15-20 minutes



Participant Guide p. 4



Slide 3 (What is Leadership?)

While scholars and practitioners debate the dozens of academic definitions of leadership, two are presented here. One is from Kouzes and Posner, authors of *The Leadership Challenge*, and the other is from a textbook on leadership. Notice the word choice which makes these definitions slightly different (art vs. ability; mobilizing vs. influence; want to struggle for aspirations vs. achievement of goals)

- After reading definitions, have participants complete the exercise regarding their own definition of leadership.



CDCR's Vision, Mission, Values and Goals

Presentation
10 minutes



Participant Guide pp. 5-6

! Thread: Vision, Mission, Values, Goals

Review the Department's vision, mission, values and goals with the participants.



Slide 4 (CDCR Vision Statement)

- Review the Vision Statement



Slide 5 (CDCR Mission Statement)

- Review the Mission Statement



Slides 6-7 (CDCR Values)

- Review the Values



Slide 8 (CDCR Goals)

- Review the Goals

Integrating the CDCR's Vision, Mission, Values and Goals

Small group exercise
30 minutes



Participant Guide p. 6



Slide 9 (Leadership: Vision, Mission, Values, and Goals)

- Have participants work with their table teams to develop at least three (3) tangible actions to integrate the mission, vision, values and goals into their day-to-day leadership activities.
- Note that the teams will likely suggest good ideas and without knowing it directly, these ideas will begin to form the foundation for the upcoming discussion on the Five Practices of Exemplary Leadership.



Flip Chart

- After approximately 20 minutes, ask for their suggestions and list them by writing them on the white board or flip charts. Point out the likely patterns in their suggestions (i.e., communicate, reward others, etc.). Thank them and note that these will be important as we move through this training module.



Leadership Characteristics

*Small group
exercise*

15-20 minutes



Participant Guide p. 7



Slide 10 (Leadership: Which Do You Agree With?)

- Read aloud the two quotes on slide 10.



Slide 11 (Leadership: Characteristics)

- Then move to slide 11 and emphasize that researchers have found a set of “core” characteristics attributed to effective leaders.
- Ask for participant reactions to these quotes. Ask something like, “Do you agree that leaders are born and not made?” “Can leadership really be learned?”
- Have the participants complete the exercise on page 7 of the Participant Guide. Be sure to remind the participants that the goal is to emphasize characteristics or traits rather than behavior.



Flip Chart

- Have participants volunteer to share the traits they came up with. Write them down on the flip chart or white board.

Characteristics of an Effective Leader

*Presentation,
Discussion*

15-20 minutes



Slide 12 (Common Characteristics of Leaders)

- This slide lists characteristics that researchers have found to be linked to effective leadership. Highlight the top four (honest, forward looking, competent, inspiring) as these appear most often in the research as traits that separate effective leaders from others.
- Discuss these with the participants. Are the characteristics written on the flip chart/white board very different from the traits listed on slide 12? If so, why? If they are, could it be due to CDCR’s culture, nature of the work, or other situational variables? Discuss this with the participants.



Behavioral Approach To Leadership

*Presentation,
Individual Exercise*
20-25 minutes



Participant Guide p. 8



Slide 13 (Behavioral Approach To Leadership)

- Emphasize that traits are important but do not guarantee success as a leader.
- Relate that research completed at Ohio State University and the University of Michigan have emphasized two main dimensions of leadership behavior; that is, “concern for people” vs. “concern for production.”
- Ask participants what “production” means to them within the CDCR.
- Have participants then complete the exercise on page 8 of the Participant Guide. Have them think of a leader within the CDCR and write down the behaviors this person engages in. Emphasize that you are seeking actions and observable things that this person has done and not traits as in the previous exercise.
- Ask for a few volunteers to share the individuals they chose and why they chose them.

Success Stories

Individual Exercise
25 minutes



Participant Guide p. 9

- Point out that since we are all so busy in our day to day lives, we do not usually have a chance to share some of our “great moments” in life both professionally and personally. The purpose of this exercise is to take a few minutes to highlight positive experiences within the CDCR.
- Have participants complete their “Success Stories” worksheet on page 9 of the Participant Guide.
- After they are finished, have several volunteers share their individual success stories with the group. Have them emphasize their positive accomplishments and events that have shaped them as individuals within the Department.



Your Leadership Style

Individual Exercise
30-35 minutes



Participant Guide p. 10



Slide 14 (Reflect on Your Leadership Skills)

- Point out that participants will now learn more about their own leadership style.
- Before asking participants to begin assessing their own leadership style and strengths, be sure to emphasize that they have already learned a lot about themselves in this training program (i.e., MBTI type, conflict management style, etc.) and that this information helps shape their leadership style.
- Have participants complete the questions about their leadership style and strengths found on Participant Guide page 10.

The Five Practices of Exemplary Leadership

Presentation
5 minutes



Participant Guide p. 11



Slide 15 (The Five Practices of Exemplary Leadership)

- Introduce the Five Practices of Exemplary Leadership which are highlighted in Kouzes and Posner's book, *The Leadership Challenge*.
- Note that each of the practices is important and while they may appear to overlap at times, that they are unique dimensions which have been shown through years of research to reflect behaviors of effective leaders.

Model The Way

*Presentation,
Individual Exercise*
15 minutes



Participant Guide p. 12



Slide 16 (1. Model The Way)

- Review the types of behaviors associated with "Model The Way"
- Have participants consider times when they recently engaged in some of these behaviors within the Department.
- Have participants complete the brief exercise on page 12 of the Participant Guide.



Inspire a Shared Vision

*Presentation,
Individual Exercise*
15 minutes



Participant Guide p. 13



Slide 17 (2. Inspire a Shared Vision)

- Review the types of behaviors associated with “Inspire a Shared Vision”
- Have participants consider times when they recently engaged in some of these behaviors within the Department.
- Have participants complete the brief exercise on page 13 of the Participant Guide.
- Point out to participants that these behaviors are different from those on slide 16 (“Model the Way”). These behaviors emphasize that leaders believe they can make a difference. They envision the future and create ideal images of what the organization can become.

Challenge The Process

*Presentation,
Individual Exercise*
15 minutes



Participant Guide p. 14



Slide 18 (3. Challenge The Process)

- Read the types of behaviors associated with “Challenge The Process”
- Have participants consider times when they recently engaged in some of these behaviors within the Department.
- Have participants complete the brief exercise on page 14 of the Participant Guide.
- Point out that behaviors associated with “Challenge the Process” stem from leaders’ search for opportunities to change the status quo and innovative ways to improve their organizations.

! Thread: Matrix Communication

Briefly discuss the question printed at the bottom of page 14.



Enable Others To Act

*Presentation,
Individual Exercise*
15 minutes



Participant Guide p. 15



Slide 19 (4. Enable Others To Act)

- Read the types of behaviors associated with “Enable Others To Act”
- Have participants consider times when they recently engaged in some of these behaviors within the Department.
- Have participants complete the brief exercise on page 15 of the Participant Guide.
- Point out that behaviors associated with “Enable Others to Act” emphasize how leaders foster collaboration and building spirited teams. When leaders engage in these behaviors, they understand that mutual respect, trust and treating others with dignity strengthen followers and make them feel capable and powerful.

! Thread: Accountability

Discuss the thread question.



Encourage The Heart

*Presentation,
Individual
Exercise,
Discussion*
20-30 minutes



Participant Guide p. 16



Slide 20 (5. Encourage The Heart)

- Read the types of behaviors associated with “Encourage The Heart”
- Have participants consider times when they recently engaged in some of these behaviors within the Department.
- Have participants complete the brief exercise on page 16 of the Participant Guide.
- Emphasize that behaviors associated with “Encourage The Heart” help keep hope and determination alive by recognizing contributions of others and celebrating accomplishments.
- To summarize the Five Practices, have participants reflect on each one and note which they are engaging in frequently and which they are not.
- Be sure to emphasize that each of these five are important and that at the end of this training program they will be provided with tangible ways to begin engaging in these immediately after training.

! Thread: Rehabilitation

Lead a short discussion to point out the link between rehabilitation and encouraging the heart.



Leadership: Situations and Followers

*Presentation,
Individual
Exercise,
Discussion*
15-20 minutes



Participant Guide p. 17



Slide 21 (Leadership: Situations and Followers)

- Have participants consider the influence of a situation on leadership.
- Have them think about a time when a manager or co-worker was successful using a leadership style which simply seem to “work” in a given situation. Have participants consider other managers/leaders/coaches, etc. they have encountered or observed and describe why their style may have been successful rather than another style.
- This “contingency” approach towards leadership emphasizes that situational factors are important to the success of a leader. Situational factors also include how “able” and “willing” followers are. Thus, when followers are capable and ready to perform a routine task, the leader is not as critical to success compared with a time when followers face a non-routine situation and are unprepared for or lack critical skills to achieve a goal.



Leadership Styles

Presentation

10 minutes



Participant Guide p. 17



Slide 22 (Should a Leader's Style Change...?)

- Leaders should note that they have options on “styles” or approach available to them.
- Directing is often used when situations require immediate action or a practice/policy is clear and well understood.
- Coaching develops mutually cooperative relationships by helping followers to examine their performance and providing positive feedback about effective and ineffective behaviors.
- Supporting allows individuals to participate in the process of making decisions which can often yield a higher quality of decision, acceptance of the decision by followers, and satisfaction with the decision process.
- Delegating can be done when a task can be performed better by a subordinate, when tasks are urgent but not high priority, and the tasks are relevant for the development of the follower. Note that both pleasant and unpleasant tasks should be delegated.

! Thread: Community

Discuss the thread question on page 17.



Delegating and Empowerment

*Presentation,
Individual
Exercise,
Discussion*
20-25 minutes



Participant Guide p. 18



Slide 23 (Delegating and Empowerment)

- Review the concept of delegation. The best tasks to delegate are those that can be done better by a subordinate, those that are urgent but not a high priority, those that are relevant to a subordinate's career, have an appropriate level of difficulty, are both pleasant and unpleasant tasks and those tasks that are not central to the manager's role.
- When delegating, be sure to: specify responsibilities clearly, specify reporting requirements, ensure that the subordinates accepts the responsibilities, inform others that may need to know, monitor progress, provide support and make mistakes a learning experience.
- Have participants complete the brief exercise on page 18 of the Participant Guide and ask for volunteers to share in their experiences related to being empowered.

The “Three C’s” of Decision Making and Leadership

Presentation
10 minutes



Participant Guide p. 19



Slide 24 (The “Three C’s” of Leadership)

- Review the “Three C’s” of decision making and leadership on page 19 of the Participant Guide.
- Point out that consensus, command and consult are tools that are available for leaders to engage in.
- Effective leaders use a variety of tools to make decisions and inspire others to follow. Leaders who continue to use the same approach for every decision are not rated as effective as those who do.



Leadership and Values

*Presentation,
Individual
Exercise,
Discussion*
15-20 minutes



Participant Guide p. 20



Slide 25 (Leadership and Values)

- Stress that leadership is “value-based.” That is, we all carry a perspective of what is right and what is wrong in terms of behavior. This is not related to what is legal or permissible by policy, it is about behaving in ways which match your life view. As leaders, you will meet others who do not share your personal outlook on life and what is “fair related to decision making and leadership.
- Personal resiliency can help alleviate any negative reactions you may encounter from others who do not share your view of leadership.
- Have participants read the last line of slide 25. Ask why perception of leadership is critical. The key learning point is that leaders are often on the ‘front line’ and the behaviors that they engage in may be misunderstood or critiqued by individuals who do not know the situation/scenario that leader faces.

Trust: Why is it so Important?

Presentation
10-15 minutes



Participant Guide p. 21



Slide 26 (Trust: Why Is It So Important?)

- Review the definition of trust and emphasize that there is familiarity and risk involved. When subordinates follow leaders, they are placing their trust with that person and expect the leader to act accordingly. Thus, you cannot lead others who do not trust you.
- Introduce the concept of “servant leadership” by Greenleaf. Service to followers is the key responsibility to leaders and is the essence of ethical leadership.

! Thread: Matrix Communication

Lead a brief discussion to focus on the thread question on page 21.



Transformational Leadership

Presentation

5-10 minutes



Participant Guide p. 22



Slide 27 (Transformational Leadership)

- The concept of “transformational leadership” is one of the areas of leadership receiving a great deal of attention by researchers.
- Transformational leadership incorporates “traditional” leadership practices (described as “transactional”) and moves towards truly influencing followers to engage in actions that move beyond their own self-interests.



Slide 28 (Transformational Characteristics)

- There are four dimensions of transformational leadership: idealized influence, intellectual stimulation, inspirational motivation, and individualized consideration.

Idealized Influence

Presentation

5-10 minutes



Slide 29 (Idealized Influence)

- Transformational leaders engage in what is known as “idealized influence” or a way of communicating a joint mission to followers, express dedication to followers, and shows a willingness to sacrifice his/her self-interest for the good of the group.

Intellectual Stimulation

Presentation

5-10 minutes



Slide 30 (Intellectual Stimulation)

- Transformational leaders also engage in “intellectual stimulation.” This entails creating an openness to new ways of thinking, creating a “big picture” that connects different views of problems, and allows brainstorming of ideas of all types.

Inspirational Motivation

Presentation

5-10 minutes



Slide 31 (Inspirational Motivation)

- Transformational leaders engage in “inspirational motivation.” This dimension relates to how leaders convince followers that they can accomplish more than they think, how they set good examples for others to follow, and how they present an optimistic view of the future.



Individualized Consideration

Presentation

10 minutes

Slide 32 (Individualized Consideration)

- Transformational leaders demonstrate “individualized consideration” by recognizing strengths and weaknesses in individual group members, shows interest in the well being of others, and supports group member’s efforts to better themselves.
- In summary, these practices are similar to the Five Practices of Exemplary Leadership described by Kouzes and Posner yet they highlight and group behaviors in slightly different ways. Transformational leadership is well-regarded in academic circles as an approach which has been found to yield impressive effects on followers’ behavior and performance, thus it is included in this training module.

! Threads: All

Referring the group back to pp. 2 and 3 in the Participant Guide, lead a discussion to determine which threads relate most closely to the theory of transformational leadership.

Communication During Change

*Presentation,
Discussion*

15-20 minutes



Participant Guide p. 23

Slide 33 (Communication During Change)

- As a leader, your communication style is critical in gaining the respect, attention and commitment of your team.
- As you have learned in other modules, while people are different and communicate and deal with conflict in a variety of ways, followers still have expectations about what a leader is “supposed to do” in a given situation.
- Communication effectiveness is critical in influencing how others see you as a leader.
- Ask individuals for examples of how communication style impacts leadership effectiveness.



Leaders Communicate By “Framing”

Presentation
10 minutes

Slide 34 (Leaders Communicate By “Framing”)

- One way a leader can demonstrate effectiveness is by framing an event or situation in a way that influences how followers perceive a situation
- Framing involves the choice of words and communicating any challenges with opportunities for success and any mistakes with options on how to move forward to correct them.

Leading Through Influence

Presentation
15-20 minutes

Participant Guide p. 24

- Emphasize to participants that when attempting to move others in a desired direction, an understanding of influence is critical for effective leadership.
- Leaders can choose from a variety of influence approaches that can be labeled as either “soft” or “hard”

Slide 35 (“Soft” Approaches)

- Soft approaches include rational persuasion (explaining the virtues and benefits of following a suggestion or command), personal appeals (i.e., “would you do it for me, please”), inspirational appeals (appealing to emotion), consultation (asking others for their input), and ingratiation (offering complimentary feedback to others).

Slide 36 (“Hard” Approaches)

- Hard approaches include pressure (using formal authority or coercive power often with an underlying feeling of a direct or indirect “threat”) and exchange (i.e., “you do this for me, I’ll do that for you” with the assumption that it is not a request, it is a command). These are found on slide 36.

Slide 37 (Effective Influence Strategies)

- Softer tactics are usually more powerful when attempted early in a situation. A combination of consultation, inspirational appeal and personal appeal often achieves the greatest results. This is found on slide 37.
- Also point out that leaders should avoid combining “soft” and “hard” tactics.



Leading Through Change

*Presentation,
Individual
Exercise,
Discussion*
10 minutes

⚙ **Slide 38 (Leading Through Change)**

- Point out that effective leaders vary their use of influence tactics and styles in different situations.
- Note that having a personal “credo” is key during change. Ask participants to reflect on what they “stand for.”
- Have participants consider what it feels like to go through change in the workplace.
- Note their feelings about change, questions they may have had and behaviors they engaged in.

! Thread: Matrix Communication

Ask the group to give examples of when to use soft and hard approaches when communicating across the matrix.

Leaders as Motivators

*Presentation,
Group Exercise*
20 minutes

📖 **Participant Guide p. 25**

⚙ **Slide 39 (Leaders as Motivators)**

- Have participants review the three components of motivation.
- When we think of motivation, we often focus primarily on “intensity” or how hard a person tries. The two other components are direction and persistence (how long can a worker sustain his/her effort).
- Point out that as we lead others through organizational change, persistence is critical in achieving desired results.
- Have participants engage in a brief role playing exercise where one participant appears to have “stopped trying” to do his/her job. As a group, attempt to diagnose the reason(s) behind this apparent decrease in motivation.
- A key learning point from this role play is that performance is made up of three key components: motivation, ability and opportunity. Opportunity refers to training, resources, and support from upper management and ability is what we “can do.”



Leaders as Motivators

*Presentation,
Individual
Exercise,
Discussion*
25-30 minutes

Slide 40 (Leaders as Motivators)

- Point out that there are many ways to motivate followers.
- Researchers have spent decades attempting to understand the process of motivation and there are several “essentials” effective leaders should know.
- Using positive reinforcement to continue a desired behavior is a very effective approach. The best time to reward or reinforce a behavior is immediately following the event.
- One of the fastest and easiest ways to sustain motivation and performance is to recognize their contributions and simply say “thank you.”
- Individuals often compare themselves to others in terms of what they receive from their manager relative to what they “put in.” The concept of equity or fairness is critical to keep in mind as a leader. Note that distributive justice (outcomes) is often not as critical as procedural justice (the process used to give out the rewards/outcomes).

! Thread: Rehabilitation

Lead a discussion focused on positive motivation of inmates and wards.

Leadership Development: Post Training Opportunities

*Presentation,
Individual
Exercise,
Discussion*
30 minutes



Participant Guide pp. 26-29



Slides 41 through 46 (Developing Your Leadership Skills)

- Review each of the post-training leadership development opportunities available to participants after this training is over (slides 41-46).
- Ask for additional suggestions from the participants as you go through each of the slides and the Five Practices

! Thread: Trust

Discuss the thread question on page 27.



Interview Effective Leaders

Presentation

5 minutes



Participant Guide p. 29

- Review the post-training exercise of “interview effective leaders”
- Remind participants that leadership development is a “process” and that in order to continue to grow as a leader, it is important to practice the skills presented in this training program.

! Thread: Matrix Communication

Briefly discuss the question printed at the bottom of page 29.

Wrap Up

Presentation

5-10 minutes



Participant Guide p. 30



Slide 47 (Wrap Up)

- Ask the participants if they have any additional questions about leadership.

Posttest

Individual Exercise

5-10 minutes

- Ask participants if they have any questions after they have answered the brief quiz questions.
- Ensure that they are comfortable with the materials presented.

The “CDCR” Leadership Model

*Presentation,
Individual
Exercise,
Discussion*

10 minutes



Participant Guide p. 31



Slide 48 (The “CDCR” Leadership Model)

- As a summary, offer participants the “CDCR” model of leadership
- C = Create a positive work environment
- D = Display effective leadership characteristics and behaviors
- C = Carry out effective influence and motivation approaches
- R = Read different situations and employee the “Three C’s”



Slide 49 (Congratulations)